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3736  
#16 IDS  
8/19/03

PTO/SB/21-108-00)

Approved for use through 10/31/2002. OMB 0651-0031

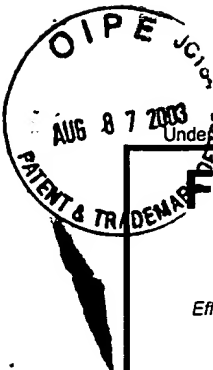
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<b>TRANSMITTAL FORM</b>  (to be used for all correspondence after initial filing)	Application Number	09/440,106	
	Filing Date	November 15, 1999	
	Confirmation Number	2546	
	First Named Inventor	TAYLOR, CHARLES S.	
	Group Art Unit	3736	
	Examiner Name	NASSER, ROBERT L.	
Total Number of Pages in This Submission	17	Attorney Docket Number	GUID-003DIV2
<b>ENCLOSURES (check all that apply)</b>			
<input checked="" type="checkbox"/> Fee Transmittal Form in Duplicate (2 pgs.) <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement (2 pgs.) <input type="checkbox"/> Certified Copy of Priority Documents <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Statement Under 37 CFR 3.73(b) <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):  Postcard PTO 1449 (12 pgs) 238 References	Remarks
<b>SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT</b>			
Firm or Individual Name	ALAN W. CANNON, Reg. No. 34,977		<b>RECEIVED</b> AUG 11 2003 TECHNOLOGY CENTER R3700
Signature			
Date	August 5, 2003		

<b>CERTIFICATE OF MAILING</b>		
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450 Alexandria, VA 22313-1450		
Typed or printed name	Maria J. Sousa	
Signature		Date August 5, 2003

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# FEE TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

**TOTAL AMOUNT OF PAYMENT** (\$)**180.00**

## Complete if Known

Application Number	09/440/106
Filing Date	November 15, 1999
Confirmation Number	2546
First Named Inventor	Taylor, Charles S.
Examiner Name	Nasser, Robert L.
Art Unit	3736
Attorney Docket No.	GUID-003DIV2

## METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit Card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit Account Number 50-2653

Deposit Account Name Law Office of Alan W. Cannon

The Commissioner authorized to: (check all that apply)

☒ Charge fees indicated below ☒ Credit any overpayments  
☐ Charge any additional fee(s) during the pendency of this application

☒ Charge fees indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Fee Code	Entity Fee (\$)	Small Entity Fee Code	Fee Description	Fee Paid
1001	750	2001	Utility filing fee	
1002	330	2002	Design filing fee	
1003	520	2003	Plant filing fee	
1004	750	2004	Reissue filing fee	
1005	160	2005	Provisional filing fee	

**SUBTOTAL (1)** 0

### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

	Extra Claims	Fee from below	Fee Paid
Total Claims	20	= x	=
Indep. Claims	3	= x	=
Multiple Dependent		=	

Large Fee Code	Entity Fee (\$)	Small Entity Fee Code	Fee Description
1202	18	2202	9 Claims in excess of 20
1201	84	2201	42 Independent claims in excess of 3
1203	280	2203	140 Multiple dependent claim, if not paid
1204	84	2204	42 ** Reissue independent claims over original patent
1205	18	2205	9 ** Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2) \$ 0**

\*\*or number previously paid, if greater; For Reissues, see above.

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Fee Code	Entity Fee (\$)	Small Entity Fee Code	Fee Description	Fee Paid
1051	130	2051	65 Surcharge - late filing fee or oath	
1052	50	2052	25 Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130 Non-English specification	
1812	2,520	1812	2,520 For filing a request for <i>ex parte</i> reexamination	
1804	920*	1804	920* Requesting publication of SIR prior to Examination action	
1805	1,840*	1805	1,840* Requesting publication of SIR after Examiner action	
1251	110	2251	55 Extension for reply within first month	
1252	410	2252	205 Extension for reply within second month	
1253	930	2253	465 Extension for reply within third month	
1254	1,450	2254	725 Extension for reply within fourth month	
1255	1,970	2255	985 Extension for reply within fifth month	
1401	320	2401	160 Notice of Appeal	
1402	320	2402	160 Filing a brief in support of an appeal	
1403	280	2403	140 Request for oral hearing	
1451	1,510	1451	1,510 Petition to institute a public use proceeding	
1452	110	2452	55 Petition to revive - unavoidable	
1453	1,300	2453	650 Petition to revive - unintentional	
1501	1,300	2501	650 Utility issue fee (or reissue)	
1502	470	2502	235 Design issue fee	
1503	630	2503	315 Plant issue fee	
1406	130	1460	130 Petitions to the Commissioner	
1807	50	1807	50 Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180 Submission of Information Disclosure Stmt	180.00
8021	40	8021	40 Recording each patent assignment per property (times number of properties)	
1809	750	2809	375 Filing a submission after final rejection (37 CFR § 1.129(a))	
1810	750	2810	375 For each additional invention to be examined (37 CFR § 1.129(b))	
1801	750	2801	375 Request for Continued Examination (RCE)	
1802	900	1802	900 Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3) (\$)** 180.00

## SUBMITTED BY

## Complete (if applicable)

Name (Print/Type)	Alan W. Cannon	Registration No. (Attorney/Agent)	34,977	Telephone	(408) 736-3554
Signature		Date	August 5, 2003		

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450 Alexandria, VA 22313-1450

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Commissioner for Patents, P.O. Box 1450 Alexandria, VA 22313-1450 on this date.

Typed or Printed Name Maria J. Sousa

Signature

*Maria J. Sousa*

Date

August 5, 2003

**INFORMATION  
DISCLOSURE STATEMENT**

Address to:

BOX:

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Attorney Docket

GUID-003DIV2

First Named Inventor

Charles S. Taylor

Application Number

09/440,106

Filing Date

November 15, 1999

Group Art Unit

3736

Examiner Name

Nasser, Robert L.

Title

Surgical Devices For Imposing a  
Negative Pressure to Stabilize Cardiac  
Tissue During Surgery

Sir:

This is an Information Disclosure Statement submitted for the Examiner's consideration. This is being filed **after** three months of the filing date or **after** the mailing date of the first Office Action on the merits, whichever event occurred last but **before** the mailing date of either a final action under §1.113 or a notice of allowance under §1.311, whichever occurs first.

A Form PTO-1449 listing the references accompany this paper. Applicants would appreciate the Examiner's initialing and returning the form to indicate that the references have been reviewed and made of record. Copies of the references identified herein which were disclosed in parent applications Serial No. 08/870,687, filed June 6, 1997 (now U.S. Patent No. 6,032, 672); which is a Div of Serial No. 08/603,328, Filed February 20, 1996 (now U.S. Patent No. 5,727,569); are included herein, pursuant to the provisions of 37 C.F.R. Section 1.98(d). Accordingly copies of references which are not included are listed in bold on the PTO-1449.

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This Information Disclosure Statement is not intended as a representation that a search has been made, that additional information material to the examination of this application does not exist, or that any one of the above references constitutes prior art to the present application within the meaning of 35 U.S.C. §102.

The Commissioner is hereby authorized to charge the filing fee of \$180 for filing an Information Disclosure Statement to deposit account No. 50-2653, order number GUID-003DIV2 as noted on the Fee transmittal submitted in duplicate with this filing. Additionally, any underpayment of fees associated with this communication, including any necessary fees for extensions of time, or credit of any overpayment is authorized to be charged to Deposit Account No. 50-2653, order number No. GUID-003DIV2.

Respectfully submitted,  
LAW OFFICE OF ALAN W. CANNON

Date: August 5, 2003

By:   
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Registration No. 34,977

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